

FIG 1

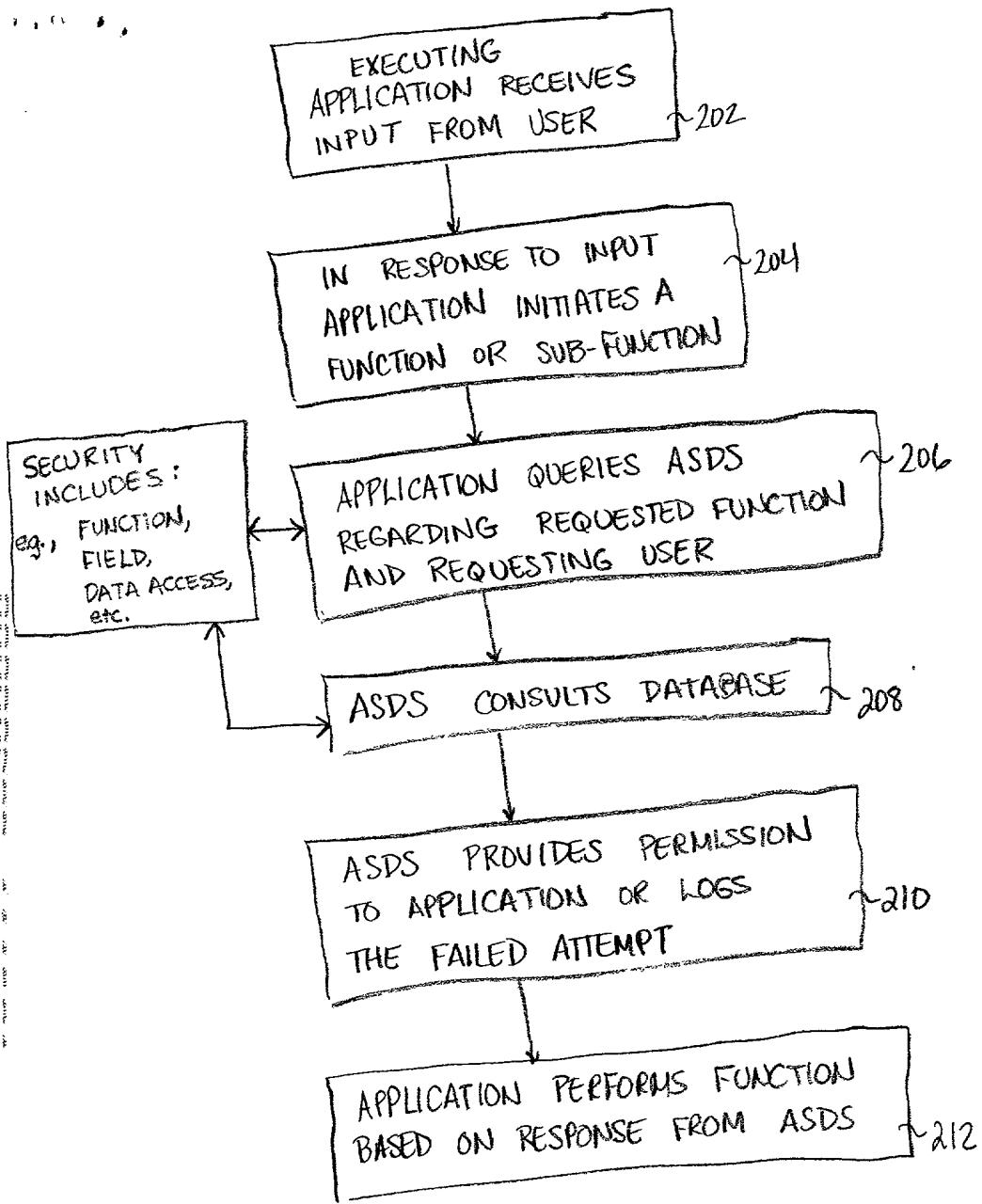


FIG. 2

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5

Security Administration - Applications by Role

Correspondent: 028 - Royal Alliance Associates Inc Role: Branch Manager

Applications and Functions

On Demand

On Demand Reports

Acm190D0 Acam Bank Activity

Csf460M0 Statements

Csf461M0 Statements

Csf462M0 Statements

Csf463M0 Statements

Csf464M0 Statements

Csf465M0 Statements

Csf466M0 Statements

Csf467M0 Statements

Csf468M0 Statements

Csf469M0 Statements

Csf470M0 Statements

Csf471M0 Statements

Csf472M0 Statements

Csf473M0 Statements

Csf474M0 Statements

Csf475M0 Statements

Csf476M0 Statements

Application: On-Demand **Function:** On-Demand Reports **Sub-Function:** Csf475M0 Statements **Sub-Sub-Function:**

Access Settings

Authorization:	Enabled	Status:	Active
Add:	Not Applicable	Effective Date:	04/20/2000
Update:	Not Applicable	Expiration Date:	12/31/9999
Delete:	Not Applicable		
Print:	Not Applicable		
Copy:	Not Applicable	Admin Access:	All Administrator Levels

Buttons: Enable Group, Save, Reset

FIG. 5

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Secured Fields

Application: Paragon

Function: Equity Option Order Entry Retail Equity

Table:

	Field Name	Field Code	Type of Field	Authorization	Maintenance Access
1	Alternate Terminal	ALT-TERMINAL	Updatable	<input checked="" type="checkbox"/> Disabled	<input checked="" type="checkbox"/> Not Applicable
2	Exchange Override	EXCHANGE-OVERRIDE	Updatable	<input checked="" type="checkbox"/> Enabled	<input checked="" type="checkbox"/> Not Applicable
3	Mark Up/Down	MARK-UP-DOWN	Updatable	<input checked="" type="checkbox"/> Enabled	<input checked="" type="checkbox"/> Not Applicable
4	Price Discretion	PRICE-DISCRETION	Updatable	<input checked="" type="checkbox"/> Invisible	<input checked="" type="checkbox"/> Not Applicable
5	Sequence Number	SEQ-NUMBER	Updatable	<input checked="" type="checkbox"/> Enabled	<input checked="" type="checkbox"/> Not Applicable

Buttons: Add, Delete, Save, Reset

FIG. 6

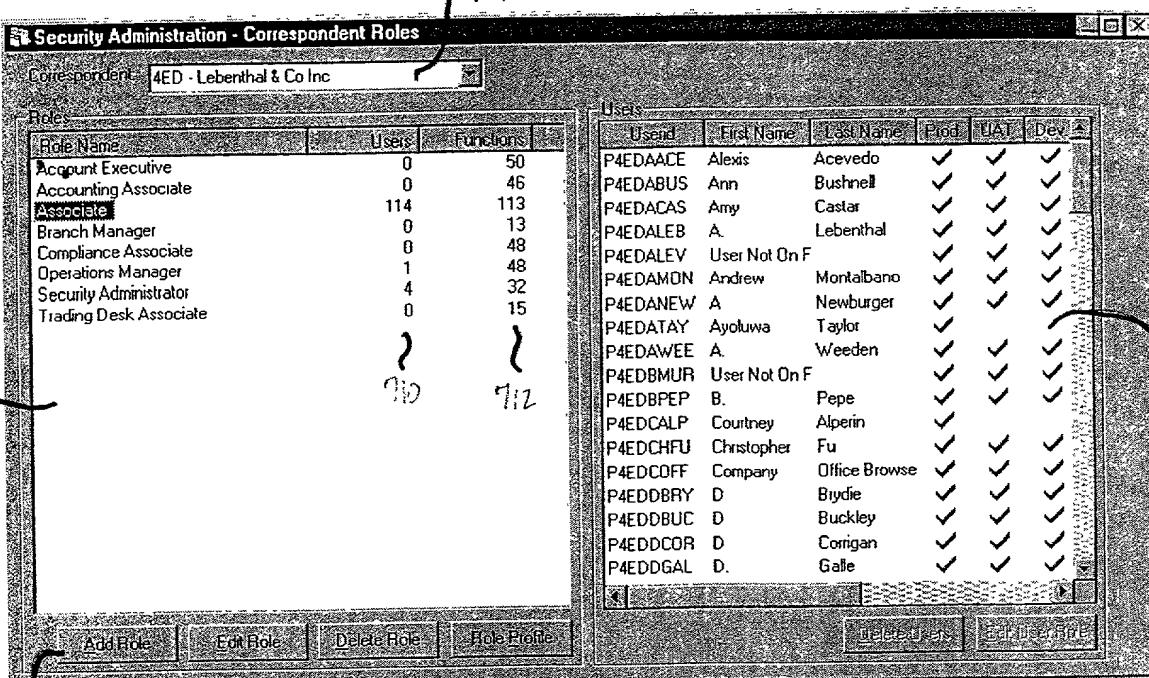


FIG 7

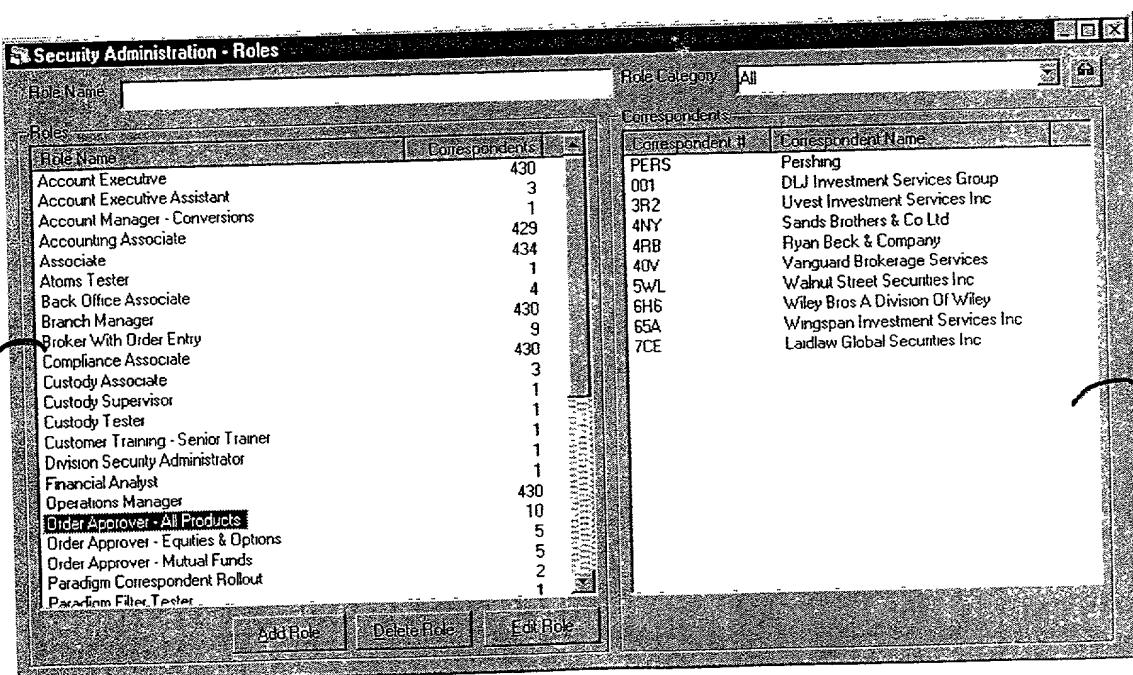


FIG 8

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Correspondent	Office	Rep. Rep.	Account	Eff. Date	Exp. Date	Status
001	2A1	F74	All	12/11/98	12/31/9999	Active
001	2A1	F93	All	12/11/98	12/31/9999	Active
001	2A1	K04	All	12/11/98	12/31/9999	Active
001	2C1	F74	All	12/11/98	12/31/9999	Active
001	2C1	F93	All	12/11/98	12/31/9999	Active
001	2C1	K04	All	12/11/98	12/31/9999	Active
001	2D1	F74	All	12/11/98	12/31/9999	Active
001	2D1	F93	All	12/11/98	12/31/9999	Active
001	2D1	K04	All	12/11/98	12/31/9999	Active
001	2E1	F74	All	12/11/98	12/31/9999	Active
001	2E1	F93	All	12/11/98	12/31/9999	Active
001	2E1	K04	All	12/11/98	12/31/9999	Active
001	2FE	F74	All	12/11/98	12/31/9999	Active
001	2FE	F93	All	12/11/98	12/31/9999	Active
001	2FE	K04	All	12/11/98	12/31/9999	Active
001	2F1	F74	All	12/11/98	12/31/9999	Active
001	2F1	F93	All	12/11/98	12/31/9999	Active

Add **Delete** **Details**

FIG. 9

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Security Administration - User Setup

User Settings	User	List of Users			User Roles	Environments	Other Settings
Correspondent	TSOJPER	UserId	First Name	Last Name	Status		
PERS - Pershing		TSOJPAL	James	Palser	Active		
First Name	De Perna	TSOJPA1	James	Palser	Active		
J.		TSOJPER	J.	De Perna	Active		
Middle Initial/PIN	1101	TSOJPAF	Joseph	Pjalf	Active		
Username		TSOJPRU	John	H Prudden	Active		
Status	Active						
Effective Date	04/12/1998						
Expiration Date	12/31/9999						
Set Password (8 Chars)	Confirm Password						
Comments							
Department							
Add	Drop	Clear	Data Access				

FIG. 10

1102

Security Administration - User Setup

User Settings	User
Correspondent: PERS - Pershing	UserId: TSOJPER
First Name: De Perna	Last Name:
Middle Init. / PIN: 1101	User Type:
Start Date:	Creation Date:
Active: Yes	04/12/1993
Effective Date: 04/20/2000	Expiration Date: 12/31/9999
Set Password (8 Chars):	
Confirm Password:	
Department: PERS	
Comments:	
<input type="button" value="Add"/> <input type="button" value="Drop"/> <input type="button" value="Clear"/> <input type="button" value="Data Access"/>	

List of Users

Role	Prod	QA	Dev	Status	Eff. Date	Exp. Date
Associate	✓	✓	✓	Active	3/23/99	12/31/99
Paradigm New Accounts Tester	✓	✓	✓	Active	12/15/99	12/31/99
Paradigm Order Management Tester	✓	✓	✓	Active	1/4/00	12/31/99
Technical Support Associate	✓	✓	✓	Active	2/9/00	12/31/99

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FIG. 11

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Security Auditing - Security Auditing by Correspondent

Correspondent: 4MV - American Century Brokerage Inc

User List by Correspondent

Optional, you can provide one or more of the following filters to help narrow the list:

User Id:	<input type="text"/>
First Name:	Bob
Last Name:	<input type="text"/>
User Type:	<input type="text"/>
Department:	<input type="text"/>
Status:	<input checked="" type="radio"/> Display All <input type="radio"/> Active users only <input type="radio"/> Suspended users only
Effective/Expiration Dates:	<input checked="" type="radio"/> Display All <input type="radio"/> Show users whose IDs are currently effective
<input type="button" value="Build List"/>	

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FIG. 12A

FIG. 12B

Security Auditing - Users by Correspondent

Correspondents - 4MV - American Century Brokerage Inc.

Userid	First Name	Middle Initial	Last Name	Effective Date	Expiration Date	Status	Userid Type	Department
P4MVBLAY	Bob		Layburn	6/24/99	12/31/9999	Active	User	PERD4MV
P4MVBOEF	Bob		Definger	10/20/99	12/31/9999	Active	User	PERD4MV
P4MVBOE2	Bob		Definger	10/20/99	12/31/9999	Active	User	PERD4MV

Security Change History

Provide one or more of the following filters to help narrow the list.

Date: From 04/10/2000 To 04/20/2000 Time: 00 00 00 To 23:59:59

User: [] Administrator ID: [] Correspondent: [] Additional Filters: [] Reset Filters: []

Date	Time	Change Category	Change Type	Userid	User Name	Correspondent	Administ
1 04/20/2000	18:23:42	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSS
2 04/20/2000	18:23:21	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSS
3 04/20/2000	18:15:18	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSS
4 04/18/2000	10:41:44	User Roles	Delete	PARATS60	Top Secret T. Test	PERS	PARASEC
5 04/18/2000	10:41:37	User Roles	Update	PARATS60	Top Secret T. Test	PERS	PARASEC
6 04/18/2000	10:41:27	User Roles	Add	PARATS60	Top Secret T. Test	PERS	PARASEC
7 04/18/2000	10:33:09	User Roles	Delete	PARASEC4	Paradigm Security Admin	PERS	PARASEC
8 04/18/2000	10:31:44	User Roles	Add	PARASEC4	Paradigm Security Admin	PERS	PARASEC
9 04/13/2000	15:24:34	Applications By Role	Update			PERS	TSOTSS
10 04/13/2000	15:19:10	Applications By Role	Add			PERS	TSOTSS
11 04/13/2000	15:18:58	Applications By Role	Add			PERS	TSOTSS
12 04/13/2000	15:18:38	Applications By Correspondent	Add			PERS	TSOTSS

FIG. 13